


Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number 42232000300	Application Number 09/668,255
	Applicant M. H. EVELYN et al.	
	Filing Date September 21, 2000	Group Art Unit To Be Assigned
	Mailing Date February 23 2001	

U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
SYJ	1.	5/25/71	3,581,072	Nymeyer			
SYJ	2.	12/6/88	4,789,928	Fujisaki			
SYJ	3.	2/20/90	4,903,201	Wagner			
SYJ	4.	12/25/90	4,980,826	Wagner			
SYJ	5.	12/31/91	5,077,665	Silverman et al.			
SYJ	6.	3/31/92	5,101,353	Lupien et al.			
SYJ	7.	8/4/92	5,136,501	Silverman et al.			
SYJ	8.	3/9/93	5,193,056	Boes			
SYJ	9.	9/7/93	5,243,515	Lee			
SYJ	10.	3/22/94	5,297,031	Guterman et al.			
SYJ	11.	12/20/94	5,375,055	Togher et al.			
SYJ	12.	3/5/96	5,497,317	Hawkins et. al.			
SYJ	13.	3/26/96	5,502,637	Beaulieu et al.			
SYJ	14.	6/17/97	5,640,569	Miller et al.			
SYJ	15.	6/30/98	5,774,176	Carter			
SYJ	16.	6/30/98	5,774,880	Ginsberg			
SYJ	17.	8/11/98	5,794,207	Walker et al.			
SYJ	18.	8/11/98	5,794,219	Brown			
SYJ	19.	9/1/98	5,802,501	Graff			
SYJ	20.	9/15/98	5,809,483	Broka et al.			
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SYJ	23.	1/5/99	5,857,176	Ginsberg			
SYJ	24.	5/18/99	5,905,974	Fraser et al.			
SYJ	25.	5/18/99	5,905,975	Ausubel			
SYJ	26.	6/22/99	5,915,209	Lawrence			

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Applicant

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SYS	27.	7/13/99	5,924,083	Silverman et al.			
SYS	28.	8/31/99	5,946,667	Tull, Jr. et al.			
SYS	29.	11/30/99	5,995,947	Fraser et al.			
SYS	30.	1/11/00	6,014,627	Togher et al.			
SYS	31.	2/15/00	6,026,383	Ausubel			
SYS	32.	3/7/00	6,035,287	Stallaert et al.			
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FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

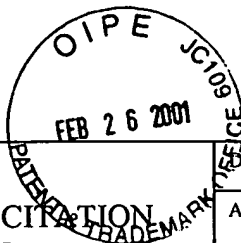
Examiner Initials	Ref. No.	Title
SYS	34.	Bicknell, "IPOs for the Everyman", Wire News 2/8/99, 1 pg.
SYS	35.	Bransten et al., "New Company Aims to Shift IPO Playing Field", Wall Str. J., 2/8/99 C1.
SYS	36.	Carlsen, "Veteran bankers use Net power to fuel IPO market", SF Business Times, 2/12/99, pp. 20, 23.
SYS	37.	CNNfn, "IPOs for the public--really!", 2/8/99, 1 pg.
SYS	38.	Daly, "West Coast firm sets new way for IPOs", CBS Market Watch Report, 2/8/99, 1 pg.
SYS	39.	Davis, "The Underwriting Underdog", Business 2.0, 7 pgs.
SYS	40.	Edwards et al., Nat. Pub. Radio, morning edition 10:00 am on ET, 2/12/99, 1 pg.
SYS	41.	Friedman "A Toast to Open IPO From the 'Little Guy' ", Los Angeles Times, 4/13/99, 1 pg.
SYS	42.	Gates, "The next generation of i-banking", Red Herring, The Bus. of Technology, 2/9/99, 1 pg.
SYS	43.	Gerhard, "A Secure Electronic Market for Anonymous Transferable Emission Permits", IEEE Comp. Soc, 1998, 232-241.
SYS	44.	Gilpin, "How the Web Can Improve Corporate Underwriting", The N.Y. Times, 2/14/99, 1 pg.
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SYS	46.	Hansell, "Internet Auction System Set For Pricing Stock Offerings", The N. Y. Times, 2/8/99, C7.

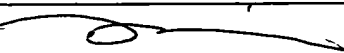
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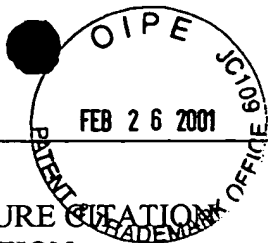
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47.	Harkavy et al., "Electronic Auctions with Private Bids", 3rd USENIX Workshop on Electronic Commerce, pgs. 61-73, 8/31-9/3/98.		
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50.	"New Approach to Investment Banking With Launch of Open IPO", IPO MONITOR, San Francisco, 2/8/99, 2 pgs.		
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52.	Kikuchi et al., "Multi-Round Anonymous Auction Protocols", IEICE Trans. Inf. & Syst. vol. E82-D, no. 4, 1999, pp. 769-776.		
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56.	The Motley Fool, "Putting the "I" in IPO", 2/8/99, 1 pg.		
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59.	O'Connor, "Internet site bids for investors", FINANCIAL TIMES, 5/18/99, 2 pgs.		
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61.	"IPOs online a boost for small investor", San Jose Mercury News, 2/15/99, 2 pgs.		
62.	Stone, "How About IPOs for the Masses?", Newsweek, Business, 2/15/99, pg. 46.		
63.	Subramanian et al., "A Real-Time Protocol for Stock Market Transactions", IEEE 1999, pp. 2-10.		
64.	Thomas, R., 8/28/1996 Letter with attachment.		
65.	Wurman et al., "Flexible double auctions for electronic commerce: theory and implementation", Elsevier Science, Decision Support Systems 24, 1998, pp. 17-27.		
66.	Young, "An IPO that's for everyone", The Sacramento Bee, 3/3/99, 2 pgs.		
67.	Zimmerman et al., "A web-based platform for experimental investigation of electric power auctions", Elsevier Science, Decision Support Systems 24, 1999, pp. 193-205.		
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69.	Brochure, "Introduction to MuniBid TM Optimizing Municipal Bond Sales", 13 pgs.		
70.	Pamphlet entitled MuniBid.		
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SYS	73.	Parity brochure, Copyright 1992, 21st Century Municipals, Inc.	
SYS	74.	"Internet Benefits SF Redevelopment Offering", CA Public Finance, v. 10, no 21, p N/A, Jan. 13, 1997.	
SYS	75.	Dazzo N. J., "In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Clients with timely Bond Data: Municipal bond dealers have never had it so easy", The Bond Buyer, v. 289, #2821, 8/29/89.	
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SYS	81.	Morgenstern, "Electronic Bidding for Municipal Bonds: Technology Innovation for Competitive Bond Sales", pp. 23-25 Government Finance Review (Feb. 2000).	
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SYS	83.	Whalen, Where is Dalcomp? New Product Awaits Inaugural Deal", The Bond Buyer 8/19/98.	
SYS	84.	Whalen, "Dalcomp's Electronic Bidding System Set to Debut With Wisconsin GO Deal", Bond Buyer, 8/21/98.	
SYS	85.	FAX from PARITY, 4/30/96.	
SYS	86.	Document entitled: "Q: What Do These Issues Have in Common?"	
SYS	87.	Official Notice of Sale, Tennessee Local Development Authority.	
SYS	88.	Bid Form Tennessee Local Development Authority; PARITY Bid Form; PARITY Form of Agreement; Suggested language document.	
SYS	89.	"Financial Advisors/Issuers", document, "The Financial Adviser Receives A Bid Status Report...".	
SYS	90.	Financial Advisors/Issue document, "Financial Advisors/Issuers see the following data for each bid and for each issue by dialing 206-635-0940 (this information only shows after the deadline for receipt of bids)".	
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